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WASHINGTON, D.C. 20231  
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**FILE COPY**

Bib Data Sheet

CONFIRMATION NO. 5246

<b>SERIAL NUMBER</b> 09/678,252	<b>FILING DATE</b> 10/03/2000 <b>RULE</b>	<b>CLASS</b> 380	<b>GROUP ART UNIT</b> 2132	<b>ATTORNEY DOCKET NO.</b> 7451-0001-15
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**APPLICANTS**

Karl L. Ginter, Beltsville, MD;  
Victor H. Shear, Bethesda, MD;  
Francis J. Spahn, El Cerrito, CA;  
David M. Van Wie, Eugene, OR;

**\*\* CONTINUING DATA \*\*\*\*\***

THIS APPLICATION IS A CON OF 09/328,671 06/09/1999, PAT 6,389,402 B2  
WHICH IS A CON OF 08/964,333 11/04/1997 PAT 5,982,891 A  
WHICH IS A CON OF 08/388,107 02/13/1995 ABN

**\*\* FOREIGN APPLICATIONS \*\*\*\*\*****IF REQUIRED, FOREIGN FILING LICENSE**

GRANTED \*\* 01/12/2001

Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no	<b>STATE OR COUNTRY</b> MD	<b>SHEETS DRAWING</b> 144	<b>TOTAL CLAIMS</b> 23	<b>INDEPENDENT CLAIMS</b> 7
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged Examiner's Signature: <i>Victor Shear</i> Initials: <i>JS</i>				

**ADDRESS**

Finnegan Henderson Farabow Garrett  
& Dunner LLP  
1300 I Street N W  
Washington, DC 20005-3315

**TITLE**

Systems and methods for secure transaction management and electronic rights protection

<b>FILING FEE RECEIVED</b> 1084	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
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Receipt

PATENT  
Customer No. 22,852  
Attorney Docket No.: 7451.0001-15  
InterTrust Ref. No.: IT-5.0.1.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#6

In re Application of:

Karl L. Ginter, et al.

Serial No.: 09/678,252

Filed: October 3, 2000

For: SYSTEMS AND METHODS FOR SECURE  
TRANSACTION MANAGEMENT AND  
ELECTRONIC RIGHTS PROTECTION

)  
)  
) Group Art Unit: 2162

)  
) Examiner: Not Yet Assigned  
)  
)

**RECEIVED**

SEP 12 2001

**OFFICE OF INITIAL PATENT EXAMINATION**  
**Assistant Commissioner for Patents**  
**Washington, DC 20231**

Technology Center 2100

**REQUEST FOR CORRECTED FILING RECEIPT**

We enclose a copy of an Official Filing Receipt that was received from the U.S. Patent and Trademark Office for this matter. We note that the priority information is incorrect. It should read as follows:

THIS APPLICATION IS A CON OF 09/328,671 06/09/1999  
WHICH IS A CON OF 08/964,333 11/04/1997 PAT 5,982,891  
WHICH IS A CON OF 08/388,107 02/13/1995 ABN

A copy of the filing receipt with the correction made in red ink is attached as well as a copy of the transmittal letter, listing the correct priority information. It is respectfully requested that a Corrected Official Filing Receipt be issued as soon as possible.

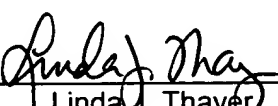
Since the error is on the part of the Patent Office, no fee is required. However, if it is determined that any fees are due in connection with the filing of this Request, please charge such fees to Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: June 7, 2001

By:

  
Linda J. Thayer  
Reg. No. 45,681

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UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/678,252	10/03/2000	2162	1084	7451-0001-15	144	23	7

CONFIRMATION NO. 5246

RECEIVED

CORRECTED FILING RECEIPT



\*OC000000006087155\*

Finnegan Henderson Farabow Garrett  
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1300 I Street N W  
Washington, DC 20005-3315

10/21/2001

FINNEGAN, HENDERSON,  
FARABOW, GARRATT & DUNNER, LLP

Date Mailed: 05/17/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Karl L. Ginter, Beltsville, MD;  
Victor H. Shear, Bethesda, MD;  
Francis J. Spahn, El Cerrito, CA;  
David M. Van Wie, Eugene, OR;

Domestic Priority data as claimed by applicant

671  
THIS APPLICATION IS A CON OF 09/328,644 06/09/1999  
WHICH IS A CON OF 08/964,333 11/04/1997 PAT 5,982,891  
WHICH IS A CON OF 08/388,107 02/13/1995 ABN

Foreign Applications

If Required, Foreign Filing License Granted 01/12/2001

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

### Title

## Systems and methods for secure transaction management and electronic rights protection

## Preliminary Class

705

**Data entry by : DAY, MARIAN**

**Team : OIPE**

Date: 05/17/2001



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Prior Application: 09/328,671

Filed: June 9, 1999

Of: Karl L. Ginter, et al.

For: SYSTEMS AND METHODS FOR SECURE TRANSACTION MANAGEMENT  
AND ELECTRONIC RIGHTS PROTECTION

Group Art Unit: 2767

Examiner: G. Barron, Jr.

SIR:

This is a request for filing a ☒ Continuation ☐ Divisional Application under 37 C.F.R. §1.53(d) of pending prior application Serial No. 09/328,671, filed June 9, 1999, which is a continuation of application Serial No. 08/964,333, filed November 4, 1997, which has since issued as U.S. Patent No. 5,982,891, which is a continuation of parent application Serial No. 08/388,107 filed February 13, 1995, now abandoned.

1. ☒ Enclosed is a complete copy of the prior application as originally filed including the drawings. I hereby verify that the attached papers are a true copy of prior application Serial No. 09/328,671, as originally filed on June 9, 1999.
2. ☐ Enclosed is a substitute specification under 37 C.F.R. §1.125.
3. ☒ Cancel Claims 2-90.
4. ☒ A Preliminary Amendment is enclosed.
5. ☒ The filing fee is calculated on the basis of the claims existing in the prior application as amended at 3 and 4 above.

For	Number Filed	Number	Extra	Rate	Basic Fee	\$ 710.00
Total Claims	23	-20=	3	x\$18.00=		\$ 54.00
Independent Claims	7	-3 =	4	x\$80.00=		\$ 320.00
Multiple Dependent Claim(s) (if applicable)				\$260.00=		
Total						
Reduction by 2 for filing by small entity						
TOTAL FILING FEE						\$1,084.00

6. ☒ A check in the amount of \$1,084.00 to cover the filing fee is enclosed.
7. ☒ The Commissioner is hereby authorized to charge any fees which may be required including fees due under 37 C.F.R. §1.16 and any other fees due under 37 C.F.R. §1.17, or credit any overpayment during the pendency of this application to Deposit Account No. 06-0916.
8. ☒ Amend the specification by inserting before the first line, the sentence:  
  
--This application is a continuation of copending application Serial No. 09/328,671, filed June 9, 1999, which is a continuation of application Serial No. 08/964,333, filed November 4, 1997, now U.S. Patent No. 5,982,891, which is a continuation of patent application Serial No. 08/388,107 filed February 13, 1995, now abandoned -- all of which are incorporated herein by reference.
9. ☐ New formal drawings are enclosed.
10. ☒ The prior application is assigned of record to: InterTrust Technologies Corporation.
11. ☐ Priority of application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_ in \_\_\_\_\_ (country) is claimed under 35 U.S.C. §119. A certified copy  
  
☐ is enclosed or ☐ is on file in the prior application.
12. ☐ A verified statement claiming small entity status  
  
☐ is enclosed or ☐ is on file in the prior application.
13. ☒ Applicants also enclosed a copy of the Declaration and Power of Attorney filed in the parent application.

14. ■ Please address all correspondence to FINNEGAN, HENDERSON, FARABOW, GARRETT and DUNNER, L.L.P., 1300 I Street, N.W., Washington, D.C. 20005-3315.

PETITION FOR EXTENSION. If any extension of time is necessary for the filing of this application, including any extension in the immediate parent application, Serial No. 09/328,671, filed June 9, 1999, for the purpose of maintaining copendency between the parent application and this application, and such extension has not otherwise been requested, such an extension is hereby requested, and the Commissioner is authorized to charge necessary fees for such an extension to our Deposit Account No. 06-0916. A duplicate copy of this paper is enclosed for use in charging the deposit account.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Date: October 2, 2000

By Linda J. Thayer  
Linda J. Thayer  
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